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| FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE<br>(REV. 07-2004)  |   | ATTORNEY'S DOCKET NUMBER<br><b>260582US2X PCT</b>  |
| <b>TRANSMITTAL LETTER TO THE UNITED STATES</b><br><b>DESIGNATED/ELECTED OFFICE (DO/EO/US)</b><br><b>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |   | U.S. APPLICATION NO. (If known, see 37 CFR 1.5)<br><div style="font-size: 1.5em; font-weight: bold; text-align: center;">10/511602</div> |
| INTERNATIONAL APPLICATION NO.<br><b>PCT/JP03/05420</b>  | INTERNATIONAL FILING DATE<br><b>28 April 2003</b> | PRIORITY DATE CLAIMED<br><b>9 May 2002 (earliest)</b>  |
| TITLE OF INVENTION<br><b>ROTATION CONTROL DEVICE FOR WORKING MACHINE</b>  |   |  |
| APPLICANT(S) FOR DO/EO/US<br><b>Naoki SUGANO, et al.</b>  |   |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |   |  |
| <ol style="list-style-type: none"> <li>1. <input checked="" type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input checked="" type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input checked="" type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).           <ol style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))           <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input checked="" type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).</li> <li>11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).</li> <li>12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).</li> </ol> |   |  |
| <b>Items 13 to 23 below concern document(s) or information included:</b>  |   |  |
| <ol style="list-style-type: none"> <li>13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</li> <li>14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>15. <input checked="" type="checkbox"/> A <b>FIRST</b> preliminary amendment.</li> <li>16. <input type="checkbox"/> A <b>SECOND</b> or <b>SUBSEQUENT</b> preliminary amendment.</li> <li>17. <input type="checkbox"/> A substitute specification.</li> <li>18. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.</li> <li>20. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>21. <input type="checkbox"/> A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).</li> <li>22. <input type="checkbox"/> Express Mail Label No.</li> <li>23. <input checked="" type="checkbox"/> Other items or information:</li> </ol>  |   |  |
| <b>Application Data Sheet/Notice of Priority/Drawings (13 Sheets)/PCT/IB/304/PCT/IB/308/PTO-1449</b><br><b>Statement of Relevancy/Cited References (4)</b>  |   |  |

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| U.S. APPLICATION NO (if known, see 37 CFR 1.5)<br><b>10/511602</b> |  | INTERNATIONAL APPLICATION NO.<br>PCT/JP03/05420 |  | ATTORNEY'S DOCKET NUMBER<br>260582US2X PCT |  |
|--|--|---|--|--|--|

|  |              |              |           |  |    |
|--|--------------|--------------|-----------|--|----|
| 24. The following fees are submitted:<br><b>BASIC NATIONAL FEE (37 CFR 1.492(a)(1)-(5)) :</b><br><input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO ..... \$1110.00<br><input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO ..... \$950.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$790.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... \$750.00<br><input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... \$100.00<br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> |              |              |           | <b>CALCULATIONS PTO USE ONLY</b><br><br><div style="border: 1px solid black; height: 100px; width: 100%;"></div> |    |
|  |              |              |           | \$950.00   |    |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).  |              |              |           | \$0.00   |    |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA | RATE      |  |    |
| Total claims   | 18 - 20 =    | 0            | x \$18.00 | \$0.00   |    |
| Independent claims   | 5 - 3 =      | 2            | x \$88.00 | \$176.00   |    |
| Multiple Dependent Claims (check if applicable). <input type="checkbox"/>  |              |              |           | \$0.00   |    |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |              |           | \$1,126.00   |    |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |              |           | \$0.00   |    |
| <b>SUBTOTAL =</b>  |              |              |           | \$1,126.00   |    |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).   |              |              |           | \$0.00   |    |
| <b>TOTAL NATIONAL FEE =</b>  |              |              |           | \$1,126.00   |    |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input type="checkbox"/>   |              |              |           | \$0.00   |    |
| <b>TOTAL FEES ENCLOSED =</b>   |              |              |           | \$1,126.00   |    |
|  |              |              |           | Amount to be refunded  | \$ |
|  |              |              |           | charged  | \$ |

a. ☐ A check in the amount of \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.

c. ☒ The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0030

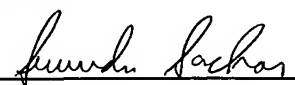
d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

**Surinder Sachar**  
Registration No. 34,423

**CUSTOMER NUMBER**  
22850

  
 SIGNATURE  
**Marvin J. Spivak**  
 NAME  
**24,913**  
 REGISTRATION NUMBER  
  
Nov. 3 2004  
 DATE

Docket No. 260582US2X PCT  
IN RE APPLICATION OF: Naoki SUGANO, et al.  
SERIAL NO: New U.S. PCT Application based on PCT/JP03/05420  
FILED: Herewith  
FOR: ROTATION CONTROL DEVICE OF WORKING MACHINE

10/511602  
DT15 d PCT/PTO 03 NOV 2004

COMMISSIONER FOR PATENTS  
ALEXANDRIA, VIRGINIA 22313

SIR:  
Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 is claimed.
- ☒ Additional documents filed herewith: Credit Card Payment Form for \$1126.00/PCT Transmittal Letter  
Application Data Sheet/Preliminary Amendment (with cover sheet)/Notice of Priority  
English Translation of Specification/Drawings (13 Sheets)/Declaration/PCT/IB/304  
PCT/IB/308/Information Disclosure Statement /PTO-1449/Statement of Relevancy  
Cited References (4)/International Search Report

The Fee has been calculated as shown below:

| CLAIMS      | CLAIMS<br>REMAINING |  | HIGHEST<br>NUMBER<br>PREVIOUSLY<br>PAID | NO.<br>EXTRA<br>CLAIMS | RATE      | CALCULATIONS |
|-------------|---------------------|--|---|------------------------|-----------|--------------|
| TOTAL       | 18                  | MINUS  | 20                                      | 0                      | x \$18 =  | \$0.00       |
| INDEPENDENT | 5                   | MINUS  | 5                                       | 0                      | x \$88 =  | \$0.00       |
|             |                     | <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS                   |   |                        | + \$300 = | \$0.00       |
|             |                     | TOTAL OF ABOVE CALCULATIONS  |   |                        |           | \$0.00       |
|             |                     | <input type="checkbox"/> Reduction by 50% for filing by Small Entity |   |                        |           | \$0.00       |
|             |                     | <input type="checkbox"/> Recordation of Assignment                   |   |                        | + \$40 =  | \$0.00       |
|             |                     | TOTAL  |   |                        |           | \$0.00       |

- ☐ A check in the amount of \$0.00 is attached.
- ☐ Credit card payment form is attached to cover the fees in the amount of \$0.00
- ☒ Please charge any additional Fees for the papers being filed herewith and for which no check or credit card payment is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- ☒ If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Marvin J. Spivak  
Registration No. 24,913

Customer Number

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